

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Shinobu Togasaki

Confirmation No.: Unk

Application No.: Unknown

Examiner: Unknown

Filing Date: Unknown

Group Art Unit: Unk

Title: APPARATUS AND METHOD FOR ROUTING A TRANSACTION TO A SERVER



COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

#8

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a petition under 37 CFR 1.97(d)(2), and  
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account 08-2025 the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EL657275335US

Date of Deposit 10-29-01

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

By Mark D. Trenner

Typed Name: Mark D. Trenner, Esq.

Respectfully submitted,

Shinobu Togasaki

By Mark D. Trenner

Mark D. Trenner, Esq.

Attorney/Agent for Applicant(s)  
Reg. No. 36,232

Date: 10-29-01

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10002673-1

APPLICATION NO.

00/000,000

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Unk

APPLICANT

Shinobu Togasaki

FILING DATE

Unknown

GROUP

Unk

1017 U.S. PTO  
10/020355

10/29/01

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	1A					
	1B					
	1C					
	1D					
	1E					
	1F					
	1G					
	1H					
	1I					
	1J					
	1K					

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	1L							
	1M							
	1N							
	1O							
	1P							

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	Hewlett Packard Company, "HP Process Resource Manager C.01.08.2"; December 2000, 16 pp.
1R	U.S. Patent Application, Serial No. 09/751,011, filed December 29, 2000, entitled "Apparatus and Method for Routing a Transaction Based on a Requested Level of Service" of Francisco J. Romero, 24 pp.
1S	U.S. Patent Application, Serial No. 09/799,662, filed March 6, 2001, entitled "Apparatus and Method for Routing a Transaction to a Partitioned Server" of Francisco J. Romero and Raja Daoud, 23 pp.

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	2A					
	2B					
	2C					
	2D					
	2E					
	2F					
	2G					
	2H					
	2I					
	2J					
	2K					

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		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	2L							
	2M							
	2N							
	2O							
	2P							

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

2Q	U.S. Patent Application, Serial No. 09/751,009, filed on December 29, 2000, entitled "Apparatus and Method for Identifying a Requested Level of Service for a Transaction" of Raja Daoud and Francisco J. Romero, 30 pp.
2R	U.S. Patent Application, Serial No. 09/493,753, filed on January 28, 2000, entitled "Dynamic Management of Computer Workloads Through Service Level Optimization" of Clifford A. McCarthy and Raja Daoud, 43 pp.
2S	

EXAMINER

DATE CONSIDERED